

DEPARTMENT OF REVENUE
BUSINESS SYSTEMS
DOCUMENTS AND PAYMENTS PROCESSING DIVISION
ERROR RESOLUTION UNIT

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.


The Department of Revenue and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of Revenue agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.


E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (Issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The


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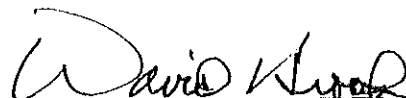
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

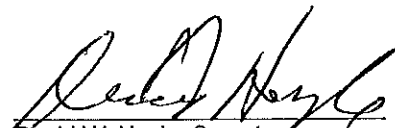

Kendra Noonan, Group Manager
Error Resolution Unit

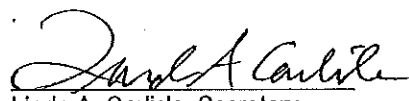

Cindy D. Mallard
Chief Records Officer and Director
Documents and Payments Processing Division


Jerry Coble, Assistant Secretary
Business Systems


David Brook, Director
Division of Historical Resources

APPROVED


David W. Hoyle, Secretary
Department of Revenue


Linda A. Carlisle, Secretary
Department of Cultural Resources

August 8, 2011

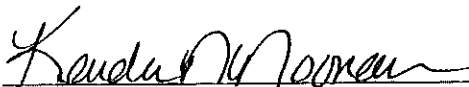
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PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

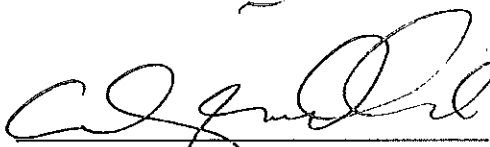
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Amend the program records retention and disposition schedule approved August 8, 2011 by the changing the disposition instructions for the following item 48126 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

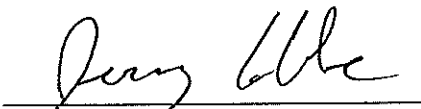
APPROVAL RECOMMENDED



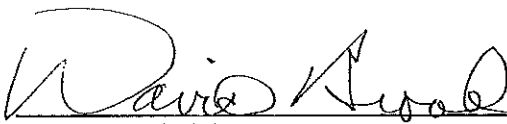
Kendra N. Noonan, Group Manager
Error / Resolution Unit



Cindy D. Mallard, Chief Records
Officer and Director, Documents and
Payments Processing Division

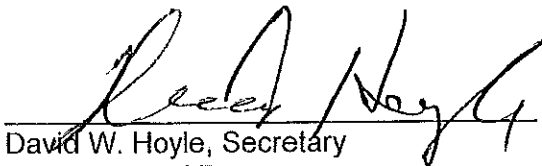


Jerry Coble, Assistant Secretary
Business Systems

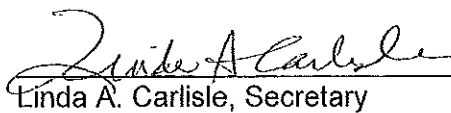


David Brook, Director
Division of Historical Resources

APPROVED



David W. Hoyle, Secretary
Department of Revenue



Linda A. Carlisle, Secretary
Department of Cultural Resources

January 6, 2012

RLL

**DEPARTMENT OF REVENUE
BUSINESS SYSTEMS
DOCUMENTS AND PAYMENTS PROCESSING DIVISION
ERROR / RESOLUTION UNIT**

ITEM 48120. CORRECTED RV EMPLOYEE IDENTIFICATION NUMBER PERFORMANCE TRACKING DATABASE (ELECTRONIC) FILE.

Records in electronic format used to track and evaluate daily and monthly work performance of employees. File includes employee names and identification numbers, total count of work performed daily and month, and other related information. File includes data entered from the Performance Tracking Reports File (Item 48121). (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records and applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer records.).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 48121. PERFORMANCE TRACKING REPORTS FILE.

Reports in paper and electronic formats concerning monitoring of work performance of employees on a daily and monthly basis. Reports include names of employees, RV Employee Identification Number, work cycle of performance, and other related records. Data entered into the Corrected RV Employee Identification Number Performance Tracking Database (Electronic) File (Item 48120). (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records and applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper records after 90 days. Destroy in office electronic records after 3 years.

ITEM 48122. SUSPENSE QUEUE COOUNT DATABASE (ELECTRONIC) FILE.

Records in electronic format concerning daily count of work that is suspended due to processing error and is not entered into daily production total until resolved by Suspense Group. File includes queues broken down by tax schedules and total numbers for daily output. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 48123. SUSPENSE QUEUE COUNT REPORTS FILE.

Reports in paper and electronic formats concerning daily count of work processed and the daily count of work corrected. File includes work processed broken down by account types and daily totals. Data entered into the Suspense Queue Count Database (Electronic) File (Item 48122). (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper records after 30 days. Destroy in office electronic records after 3 years.

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ITEM 48124. QUALITY ASSURANCE SUSPENSE DATABASE (ELECTRONIC) FILE.

Records in electronic format concerning quality assurance used to rate employee error rates. File includes employee names, amounts of work per hour, error rate used for evaluating work performance, taxpayer ID numbers, dates return filed, dates amount paid/refunded, and other related data. Data entered into the Quality Assurance Suspense (Source Documents) File (Item 48126). (Comply with applicable provisions of G.S. 105-241; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-259; and G.S. 132-1.1 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 48125. QUALITY ASSURANCE SUSPENSE (REPORTS) FILE.

Reports in paper and electronic formats concerning suspense quotas pending agent activity to complete processing of returns to satisfy internal and external customers. File includes taxpayer ID numbers, dates return filed, dates amount paid/refunded, and other related data. This report is generated routinely from the Quality Assurance Suspense Database (Electronic) File (Item 48124.) (Comply with applicable provisions of G.S. 105-241; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-259; and G.S. 132-1.1 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper records after 30 days. Destroy in office electronic records after 3 years.

ITEM 48126. QUALITY ASSURANCE SUSPENSE (SOURCE DOCUMENTS) FILE.

Records in paper and electronic formats concerning suspense quotes pending agent activities to complete processing of returns to satisfy internal and external customers. File includes taxpayer forms, correspondence, including e-mail, and other related records. File also includes results from quality assurance tests taken by employees to be graded on their performance for quarterly coaching and Personal Evaluation Performance (PEP). Data entered into the Quality Assurance Suspense Database (Electronic) File (Item 48124.) (Comply with applicable provisions of G.S. 105-241; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-259; and G.S. 132-1.1 concerning confidentiality of taxpayer records.) Amended 01-06-2012

DISPOSITION INSTRUCTIONS: Retention of e-mail in this series is governed by G1 of the General Schedule for State Agency Records which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office after 3 years if no litigation, claims, audits or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.